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*Alabama Department of Corrections*

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COMMISSIONER

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ADMINISTRATIVE REGULATION  
NUMBER 322

OPR: OPERATIONS

**SECURITY AUDITS**

**I. GENERAL**

This Alabama Department of Corrections (ADOC) Administrative Regulation (AR) establishes the responsibilities, policies, and procedures for conducting security audits.

**II. POLICY**

It is the policy of the ADOC to provide for a system to monitor operations and programs through inspections and reviews.

**III. DEFINITION(S) AND ACRONYM(S)**

- A. **Corrective Action Plan:** A plan of action by the Warden / Division Director to address deficiencies in security practices identified by the audit team.
- B. **External Audit Team:** A group of trained ADOC staff assembled to monitor and analyze security policies and procedures.
- C. **Internal Audit Team:** A group of individuals assembled at the institution level to monitor and review security policies and procedures.
- D. **Security Audit:** The examination, monitoring, and verification of security policies and procedures.

**IV. RESPONSIBILITIES**

- A. The Associate Commissioner of Operations is responsible for managing the Security Audit Program.

- B. The Institutional Coordinator(s) or designees are responsible for serving as the chairperson for the Security Audit Program.
- C. The Wardens / Directors are responsible for:
  - 1. Developing their institutional / division Standard Operating Procedures (SOPs), as necessary, for the implementation of AR 322, *Security Audit*.
  - 2. Appointing an Internal Audit Team.
- D. The Internal Audit Team is responsible for preparing and conducting institutional audits in accordance with this AR and institutional SOPs.

**V. PROCEDURES**

- A. The purpose of the security audit is to:
  - 1. Enhance the overall security and safety of staff and inmates.
  - 2. Identify, refine, and improve security procedures.
  - 3. Heighten security awareness and proficiency among institutional staff.
- B. The security audit shall be used to:
  - 1. Identify those weaknesses and deficiencies in security operations.
  - 2. Determine ageing institution infrastructure and equipment.
  - 3. Determine if institutional procedures and actual practices are in compliance with agency policies and procedures.
  - 4. Ensure security resources are being used effectively and efficiently.
- C. Team Composition:
  - 1. The Institutional Coordinator(s) shall select trained members to assist him / her and chair the External Audit Team.

2. The Warden / Division Director shall appoint at least three (3) members to an Internal Audit Team.
  - a. The Warden / Division Director shall review the composition of the Internal Audit Team on a regular basis to ensure that the team members are maintained at all times.
  - b. A copy of the list of members shall be forwarded to the Institutional Coordinator(s).
- D. The Internal and External Audit Teams shall review applicable areas listed in Annex A, *Security Audit Areas*.
- E. The Internal Audit Team shall conduct an annual audit. Other audits may be conducted on an as needed basis. The results of the audit shall be documented and retained in a file for review by the External Audit Team.
- F. External security audits shall be conducted at least once every year in accordance with a security audit schedule established by the Institutional Coordinator(s).
  1. The schedule shall be published at the beginning of each calendar year.
  2. The Institutional Coordinator(s) shall notify the Warden / Division Director at least seven (7) days in advance of an external security audit.
- G. The Associate Commissioner of Operation may schedule unannounced audits at his or her discretion.
- H. Upon arriving at the institution, the External Audit Team shall conduct a pre-audit interview with the Warden / Division Director and any other staff as deemed necessary. The auditor shall:
  1. Explain the audit plan.
  2. Answer questions.
  3. Identify any records initially required.

- I. The Warden / Division Director shall provide the External Audit Team a tour of the institution to include all housing units, medical services, academic, vocational and educational buildings, kitchen, dining room(s), maintenance, warehouse(s), armory, control center, sally ports, gates, perimeter posts, towers, and any prison industries.
- J. The Warden / Division Director shall identify a member on the Internal Audit Team to serve as the primary contact person to assist the External Audit Team.
- K. The Warden / Division Director shall provide the External Audit Team access to records, electronic documents, personnel, and security audit areas.
- L.. During the audit, the External Audit Team shall review documentation, observe practices, inspect the institution and equipment, and interview staff and / or offenders, as appropriate. Specifically, the team shall:
  - 1. Question security staff about their knowledge of all procedures associated with the assigned post.
  - 2. Review post orders, daily and master staff rosters, and schedules.
  - 3. Review logs on all posts and observe actual post performance.
  - 4. Check tool, armory and equipment sign in/out sheets and tool inventories.
  - 5. Observe actual searches of inmates and inmate property.
  - 6. Review and observe entry and exit procedures for delivery vehicles and outside work details.
  - 7. Randomly review selected security equipment.
  - 8. Visit all perimeter posts during daylight and darkness hours.
- L. Upon completion of the audit, the External Audit Team shall conduct an exit interview with the Warden / Division Director and Internal Audit Team. The audit team shall verbally:
  - 1. Report on the knowledge and skill of the staff.
  - 2. Status of the post orders.
  - 3. Any scenarios that were posed to staff and their responses.

- M. Upon conclusion of the audit, the audit team will have ten (10) working days to prepare and submit a written report reflecting observations and recommendations to the Institutional Coordinator(s).
- N. The Institutional Coordinators shall review the External Audit Team's report and forward it to the Associate Commissioner of Operations within 30 days after conclusion of the audit.
- O. The Associate Commissioner of Operations shall within ten (10) days of receipt of the audit report, review and forward copies to the Commissioner and the respective Warden / Division Director.
- P. The Warden / Division Director shall within ten (10) days of receipt of the audit report, submit a corrective action plan outlining the actions taken relative to the recommendations. This plan shall be submitted through the Institutional Coordinator(s) to the Associate Commissioner of Operations.
- Q. The Institutional Coordinator(s) shall follow-up and monitor all unresolved recommendations.
- R. All security audits, subsequent responses, and follow-up reports, shall be maintained on file by the Warden / Division Director and in the Institutional Coordinator's office for a period of three (3) years.

**VI. DISPOSITION**

Any forms used will be disposed of and retained according to the Departmental Records Disposition Authority (RDA).

**VII. FORMS**

There are no forms prescribed in this regulation.

**VIII. SUPERCEDES**

This is a new Administrative Regulation and does not supersede any other regulation.

**IX. PERFORMANCE**

- A. Code of Alabama 1975 as amended § 14-1-1.1.
- B. U. S. Department of Justice, National Institute of Corrections (NIC), Conducting Prison Security Audits.
- C. American Correctional Association (ACA), Guidelines for the Development of a Security Program, Third Edition.

- D. American Correctional Association (ACA), Standards for Adult Correctional Institutions, Fourth Edition, 4-4295, 4-4296, 4-4297, 4-4298, 4-4299, 4-4300, 4-4301, 4-4302, 4-4303, 4-4304, 4-4305.



Richard F. Allen, Commissioner

**ANNEX('S) / APPENDICE(S):**

**Annex A**, Security Audit Areas.

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### **SECURITY AUDIT AREAS**

The Security Audit Team will examine the following areas:

1. Security:
  - a. Key control plan.
  - b. Escape prevention plan
  - c. Fire safety and evacuation.
  - d. Security procedures for entry / exit areas.
  - e. Motor vehicle accountability.
  - f. Tool and substance control plan.
  - g. Search of departmental vehicles.
  - h. Communication.
  - i. Inmate mail.
  - j. Incident reporting.
  - k. Disturbance management plan.
  - l. Searches and substance abuse testing.
  - m. Security threat group members.
  - n. Inmate Property.
  - o. Admission / Releases practices.
  - p. Control Centers.
  - q. Contraband and Evidence management.
  - r. Control movement.
  - s. Inmate visitation.
  - t. Inmate work / job assignments.
  - u. Inmate transport.
  - v. Offsite security procedures.
  - w. Perimeter security.
  - x. Security inspections.
2. Medical / Mental Health:
  - a. Tool control (i.e., surgical, dental and other medical equipment).
  - b. Storage and control of narcotics and controlled substances.
  - c. Maintenance and handling of hazardous materials.
  - d. Protocol.
  - e. Suicide prevention.

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**SECURITY AUDIT AREAS (continued)**

3. Food Service:
  - a. Tool control.
  - b. Control of food items.
  - c. Sanitation.
4. Training:
  - a. Training records and programs.
  - b. Weapons qualification and training.
  - c. Compliance with use of force regulations.
  - d. Training plans.
  - e. Chemical Agents.
  - f. Mental Health.
5. Armory / Arsenal:
  - a. Storage, issuance and accountability of weapons, chemical agents and related security equipment.
  - b. Issuance of firearms.
  - c. Restraining devices.
  - d. Security equipment inventories.
6. Maintenance:
  - a. Tool control.
  - b. Reporting and responding to maintenance requests.
  - c. Inmate supervision by maintenance personnel.
  - d. Maintenance and handling of hazardous materials.
  - e. Physical Plant.
7. Shift Supervisor:
  - a. Roll call procedures.
  - b. Correctional post orders.
  - c. Overtime rosters.
  - d. Inmate headcounts.
  - e. Institutional log book system.
  - f. Cell extraction directive and plans.



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**SECURITY AUDIT AREAS (continued)**

7. Shift Supervisor (continued):
  - g. Escape prevention.
  - h. Disturbance management.
  - i. Discipline.
  - j. Emergency response.
  - k. Procedures for ongoing inspection of security, fire safety, maintenance and cleanliness.
  - l. Inmate admissions / releases.
8. Classification:
  - a. Sex Offender Notification.
  - b. Initial classification and reclassification conducted in a timely basis.
  - c. Review classification hearing in process.
  - d. Inmate admissions / releases.
  - e. Written inmate classification plan, objectives of the classification system and methods for achieving them, and monitoring and evaluation mechanism (4-4295).
  - f. Frequent review of inmate custody / security procedures (4-4296).
  - g. Maximum involvement of representatives relevant to institutional programs (4-4297).
  - h. Collecting of inmate criminal history information (4-4298).
  - i. Staff member assigned to inmate at initial classification (4-4299).
  - j. Written plan for inmate classification reviews at least every twelve (12) months; inmates with 12 months or less to earliest release date shall be reviewed every ninety days (4-4300).
  - k. The classification plan specifies the criteria for determining and changing an inmate's classification status (4-4301).
  - l. All inmates appear at classification hearings unless precluded for security reasons; a 48 hour notice is required before the hearing, but can be waived by the inmate in writing (4-4302).
  - m. Written procedures which allow an inmate to initiate a progress review (4-4303).
  - n. Inmate receives progress prior to parole hearing (4-4304).
  - o. Identification of special needs inmates (4-4305)
  - p. Written classification mission statement.

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**SECURITY AUDIT AREAS (continued)**

- 8. Classification (continued):
  - q. Written classification goals and objectives formulated so their outcomes can be measured and evaluated.
  - r. Written procedures to establish a central classification monitoring process to ensure that no more than 5 to 15 % overrides of objectives risk assessment score.
- 9. Segregation:
  - a. Processing.
  - b. Security checks.
  - c. Documentation review.
  - d. Mental Health.
  - e. Protective custody for inmates.